

**Residential Care Services (RCS)**  
**Operational Principles and Procedures for**  
Adult Family Homes (AFHs)  
**LICENSING INSPECTIONS**

**RESIDENT RECORD REVIEW**

**I. Purpose**

To determine whether the information in the record is current and consistent with the resident's care and service needs.

**II. Authority**

[RCW 70.128.090 \(1\)](#)  
[RCW 70.128.130](#)

[RCW 70.128.120](#)

**III. Operational Principles**

- A. The Licensors will conduct a complete review of the records for the two residents chosen for a comprehensive review.
- B. The focus of the complete resident record review will be on determining if the information is accurate and current, and how the information supports the quality of life, safety and provision of care and services for the resident.
- C. Additional resident record review will consist of only those sections/areas needed to verify and clarify the information necessary to make compliance decisions.
- D. The inspection process should rarely include a review of records from outside agencies and/or closed records.
- E. The record review will focus on documentation since the last inspection.

**IV. Procedures**

**The Licensors will:**

- A. Conduct a complete review of the records for the two residents chosen for a comprehensive review
  - 1. Record pertinent information. **FORM F (Resident Record Review)**
  - 2. Evaluation of the records may include a review of the following areas:
    - a. Resident assessment
    - b. Preliminary Service Plan/negotiated care plan
    - c. Staff notes included in the resident record (if present)
  - 3. Other resident record review will consist of only those sections/areas needed to verify and clarify the information necessary to make compliance decisions

**INFORMATION AND ASSISTANCE**

**A. General:**

- 1. Because observations and interviews are the primary source of data gathering, record review should only be a small portion of the total inspection process.
- 2. You should link information gathered in resident record review with information from observations and interviews. The information acquired during observations

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and interviews will direct your record review and information found in the record may also require further interviews and observations.

3. The resident record should provide a current picture of the resident as identified by observation and interview.
4. The resident record review will be resident centered.
5. During the process of record review, be alert at all times to the residents' environment and activities around you.
6. When evaluating the records, be sure to pay attention to the following:
  - a. Resident assessment whether the assessment reflect the current status of the resident
  - b. Preliminary Service Plan/Negotiated Care Plan - does the plan meet the resident needs
  - c. Staff notes included in the resident record (if present) only if identified something that needs further action

**B. When to review a closed record:**

1. If there are no current residents in the home, review one closed resident record.
2. Review closed resident record of residents no longer residing at the facility only if an issue is identified that directly relates to a specific resident no longer in the AFH; or no current residents reside in the home; or if there is a concern regarding discharge or transfers.

**IF REVIEWING A CLOSED RECORD:**

- a. Request closed resident record from provider or staff by resident name or a closed record from the last year.
- b. Review file for areas of identified concern and document. **FORM F (Resident Record Review)**
- c. Obtain a name and contact phone number for family/representative and healthcare practitioner if necessary.

**C. When to review other records:**

1. Review other records, including incident/injury logs, financial records and other required documentation only if you identify a potential or actual negative resident outcome.

**D. When to review other resident records:**

1. Only review of other resident records if there is a probable or actual resident outcome identified that drives a focused review.

**E. When to review collateral records:**

1. Review Collateral Record only if:
  - a. There is actual or potential negative resident outcome; and
  - b. The collateral record review is necessary to clarify or validate identified issues.
2. During the inspection it may become evident more information is required to complete accurate data collection such as:
  - a. Healthcare practitioner records

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- b. Hospital records
  - c. Home health records
  - d. Police or law enforcement records
3. Document a contact name and phone numbers, fax numbers and/or addresses regarding a contact for the collateral record information only if required to complete the data collection.
4. Do not delay necessary collateral record review (written request, onsite visits, fax or phone call) because time is important and the inspection process is not considered complete until the last date of data collection.



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